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| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO.<br>1700.0020001/JAG/SGW | APPLICATION NO.<br>09/275,883 |
|   | APPLICANT<br>Renner <i>et al.</i>        |                               |
|   | FILING DATE<br>March 25, 1999            | GROUP<br>1643                 |

| U.S. PATENT DOCUMENTS |     |                 |            |                                    |       |           |             |
|-----------------------|-----|-----------------|------------|------------------------------------|-------|-----------|-------------|
| EXAMINER INITIAL      |     | DOCUMENT NUMBER | DATE       | NAME                               | CLASS | SUB-CLASS | FILING DATE |
| PS                    | AA1 | 5,532,154       | 07/02/1996 | Brown, D. T.                       | 435   | 235.1     | 03/21/1994  |
| PS                    | AB1 | 5,578,473       | 11/26/1996 | Palese, P. <i>et al.</i>           | 435   | 172.3     | 03/10/1994  |
| PS                    | AC1 | 5,580,859       | 12/03/1996 | Felgner, P. L. <i>et al.</i>       | 514   | 44        | 03/18/1994  |
| PS                    | AD1 | 5,705,163       | 01/06/1998 | Pastan, I. <i>et al.</i>           | 424   | 260.1     | 06/05/1995  |
| PS                    | AE1 | 5,756,349       | 05/26/1998 | Lin, F.-K.                         | 435   | 325       | 06/06/1995  |
| PS                    | AF1 | 5,789,245       | 08/04/1998 | Dubensky, Jr., T. W. <i>et al.</i> | 435   | 320.1     | 10/30/1996  |
| PS                    | AG1 | 5,814,482       | 09/29/1998 | Dubensky, Jr., T. W. <i>et al.</i> | 435   | 69.3      | 10/30/1996  |
| PS                    | AH1 | 5,843,723       | 12/01/1998 | Dubensky, Jr., T. W. <i>et al.</i> | 435   | 69.3      | 10/30/1996  |
|                       | AI  |                 |            |                                    |       |           |             |
|                       | AJ  |                 |            |                                    |       |           |             |
|                       | AK  |                 |            |                                    |       |           |             |

| FOREIGN PATENT DOCUMENTS |     |                 |            |         |       |           |             |
|--------------------------|-----|-----------------|------------|---------|-------|-----------|-------------|
| EXAMINER INITIAL         |     | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
| PS                       | AL1 | WO 97/38087     | 10/16/1997 | WIPO    |       |           | Yes<br>No   |
| PS                       | AM1 | EP 0 716 148 A2 | 06/12/1996 | Europe  |       |           | Yes<br>No   |
| PS                       | AN1 | WO 96/17072     | 06/06/1996 | WIPO    |       |           | Yes<br>No   |
|                          | AO  |                 |            |         |       |           | Yes<br>No   |
|                          | AP  |                 |            |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |  |
|--|----|---|--|
| PS   | AR | 1 | Altman-Hamamdzie, S. <i>et al.</i> , "Expression of $\beta$ -galactosidase in mouse brain: utilization of a novel nonreplicative Sindbis virus vector as a neuronal gene delivery system." <i>Gene Therapy</i> 4:815-822 (August 1997) |
| PS   | AS | 1 | Artelt, P. <i>et al.</i> , "Vectors for efficient expression in mammalian fibroblastoid, myeloid and lymphoid cells via transfection or infection," <i>Gene</i> 68:213-219 (1988)  |
| PS   | AT | 1 | Artuc, M. <i>et al.</i> , "Differential promoter activity in benign and malignant human cells of skin origin," <i>Exp. Dermatol.</i> 4:317-321 (1995)  |

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| EXAMINER<br><i>RLS</i> | DATE CONSIDERED<br><i>8/3/00</i> |
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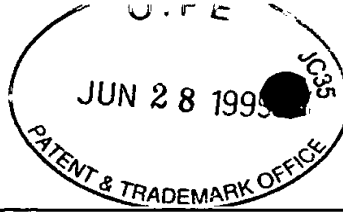
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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |   |
|--|----|---|---|
| 85   | AR | 2 | Barton, D. J. <i>et al.</i> , "Demonstration In Vitro of Temperature-Sensitive Elongation of RNA in Sindbis Virus Mutant <i>ts6</i> ," <i>J. Virol.</i> 62:3597-3602 (1988)                             |
| 85   | AS | 2 | Bechler, K., "Influence of Capping and Polyadenylation on mRNA Expression and on Antisense RNA Mediated Inhibition of Gene Expression," <i>Biochem. Biophys. Res. Comm.</i> 241:193-199 (December 1997) |
| 85   | AT | 2 | Berglund, P. <i>et al.</i> , "Alphaviruses as vectors for gene delivery," <i>TIBTECH</i> 14:130-134 (April 1996)  |

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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |   |
|--|----|---|---|
| RS   | AR | 3 | Bohl, D. <i>et al.</i> , "Long-term control of erythropoietin secretion by doxycycline in mice transplanted with engineered primary myoblasts," <i>Nature Med.</i> 3:299-305 (March 1997) |
| RS   | AS | 3 | Bredenbeek, P. J. and C. M. Rice, "Animal RNA virus expression systems," <i>Seminars in Virol.</i> 3:297-310 (1992)   |
| RS   | AT | 3 | Bredenbeek, P. J. <i>et al.</i> , "Sindbis Virus Expression Vectors: Packaging of RNA Replicons by Using Defective Helper RNAs," <i>J. Virol.</i> 67:6439-6446 (1993)                     |

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INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1700.0020001/JAG/SGW

APPLICATION NO.  
09/275,883

APPLICANT  
Renner *et al.*

FILING DATE  
March 25, 1999

GROUP  
1643

U.S. PATENT DOCUMENTS

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|                     | AA |                 |      |      |       |           |             |
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FOREIGN PATENT DOCUMENTS

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|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

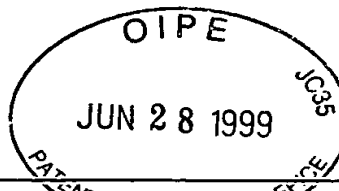
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |   |  |
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| PS | AR | 4 | Burge, B. W. and E. R. Pfefferkorn, "Isolation and Characterization of Conditional-lethal Mutants of Sindbis Virus," <i>Virology</i> 30:204-213 (1966) |
| PS | AS | 4 | Burge, B. W. and E. R. Pfefferkorn, "Complementation Between Temperature-sensitive Mutants of Sindbis Virus," <i>Virology</i> 30:214-223 (1966)        |
| PS | AT | 4 | Chapman, K. B. and J. W. Szostak, "Isolation of a ribozyme with 5'-5' ligase activity," <i>Chem. &amp; Biology</i> 2:325-333 (1995)                    |

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DATE CONSIDERED

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|                       | AA |                 |      |      |       |           |             |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |  |
|--|----|---|--|
| PS   | AR | 5 | Cramer, A. <i>et al.</i> , "Improved Green Fluorescent Protein by Molecular Evolution Using DNA Shuffling," <i>Nature Biotech.</i> 14:315-319 (MARCH 1996)   |
| PS   | AS | 5 | Davis, M. L. <i>et al.</i> , "In Vitro Synthesis of Infectious Venezuelan Equine Encephalitis Virus RNA from a cDNA Clone: Analysis of a Viable Deletion Mutant," <i>Virology</i> 171:189-204 (1989) |
| PS   | AT | 5 | De Groot, R. J. <i>et al.</i> , "Sindbis virus RNA polymerase is degraded by the N-end rule pathway," <i>Proc. Natl. Acad. Sci. USA</i> 88:8967-8971 (1991)  |

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|   | APPLICANT<br>Renner <i>et al.</i>                    |                               |
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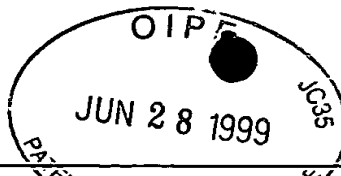
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|                       | AH |                 |      |      |       |           |             |
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|                       | AJ |                 |      |      |       |           |             |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |   |
|--|----|---|---|
| PS   | AR | 6 | Doedens, J. R. <i>et al.</i> , "Inhibition of Endoplasmic Reticulum-to-Golgi Traffic by Poliovirus Protein 3A: Genetic and Ultrastructural Analysis," <i>J. Virol.</i> 71:9054-9064 (December 1997)                                 |
| PS   | AS | 6 | Dryga, S. A. <i>et al.</i> , "Identification of Mutations in a Sindbis Virus Variant Able to Establish Persistent Infection in BHK Cells: The Importance of a Mutation in the nsP2 Gene," <i>Virology</i> 228:74-83 (February 1997) |
| PS   | AT | 6 | Dubensky, Jr., T. W. <i>et al.</i> , "Sindbis Virus DNA-Based Expression Vectors: Utility for In Vitro and In Vivo Gene Transfer," <i>J. Virol.</i> 70:508-519 (January 1996)   |

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|                       | AH |                 |      |      |       |           |             |
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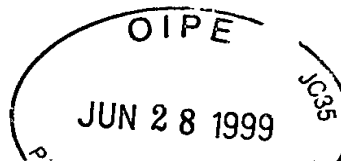
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |   |   |
|----|----|---|---|
| PS | AR | Z | Dubuisson, J. <i>et al.</i> , "Formation and Intracellular Localization of Hepatitis C Virus Envelope Glycoprotein Complexes Expressed by Recombinant Vaccinia and Sindbis Viruses," <i>J. Virol.</i> 68:6147-6160 (1994) |
| PS | AS | Z | Frolov, I. <i>et al.</i> , "Alphavirus-based expression vectors: Strategies and applications," <i>Proc. Natl. Acad. Sci. USA</i> 93:11371-11377 (October 1996)  |
| PS | AT | Z | Früh, K. <i>et al.</i> , "Displacement of housekeeping proteasome subunits by MHC-encoded LMPs: a newly discovered mechanism for modulating the multicatalytic proteinase complex," <i>EMBO J.</i> 13:3236-3244 (1994)    |

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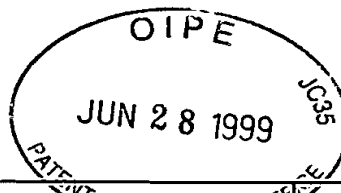
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|                       | AG |                 |      |      |       |           |             |
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|                       | AI |                 |      |      |       |           |             |
|                       | AJ |                 |      |      |       |           |             |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |   |
|--|----|---|---|
| PS   | AR | 8 | Furth, P. A. <i>et al.</i> , "Temporal control of gene expression in transgenic mice by a tetracycline-responsive promoter," <i>Proc. Natl. Acad. Sci. USA</i> 91:9302-9306 (1994)          |
| PS   | AS | 8 | Gossen, M. and H. Bujard, "Tight control of gene expression in mammalian cells by tetracycline-responsive promoters," <i>Proc. Natl. Acad. Sci. USA</i> 89:5547-5551 (1992)                 |
| PS   | AT | 8 | Hahn, C. S. <i>et al.</i> , "Infectious Sindbis virus transient expression vectors for studying antigen processing and presentation," <i>Proc. Natl. Acad. Sci. USA</i> 89:2679-2683 (1992) |

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| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. & TRADEMARK OFFICE<br>1700.0020001/JAG/SGW | APPLICATION NO.<br>09/275,883 |
|   | APPLICANT<br>Renner <i>et al.</i>                           |                               |
|   | FILING DATE<br>March 25, 1999                               | GROUP<br>1643                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |   |  |
|--|----|---|--|
| PS   | AR | 2 | Hakimi, J. and P. H. Atkinson, "Glycosylation of Intracellular Sindbis Virus Glycoproteins," <i>Biochem. 21</i> :2140-2145 (1982)  |
| PS   | AS | 2 | Hariharan, M. J. <i>et al.</i> , "DNA Immunization against Herpes Simplex Virus: Enhanced Efficacy Using a Sindbis Virus-Based Vector," <i>J. Virol. 72</i> :950-958 (February 1998)                                   |
| PS   | AT | 2 | Hennighausen, L. <i>et al.</i> , "Conditional Gene Expression in Secretory Tissues and Skin of Transgenic Mice Using the MMTV-LTR and the Tetracycline Responsive System," <i>J. Cell. Biochem. 59</i> :463-472 (1995) |

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| EXAMINER |  | DATE CONSIDERED | 8/300 |
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|   | FILING DATE<br>March 25, 1999         | GROUP<br>1643              |

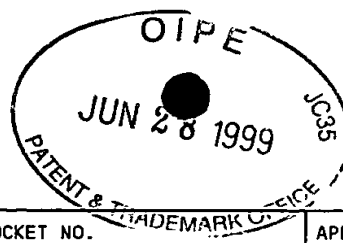
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |   |
|--|----|-----------|---|
| PS   | AR | <u>10</u> | Herweijer, H. <i>et al.</i> , "A Plasmid-Based Self-Amplifying Sindbis Virus Vector," <i>Human Gene Ther.</i> 6:1161-1167 (1995)  |
| PS   | AS | <u>10</u> | Hoffmann, A. <i>et al.</i> , "A novel tetracycline-dependent expression vector with low basal expression and potent regulatory properties in various mammalian cell lines," <i>Nucl. Acids Res.</i> 25:1078-1079 (March 1997) |
| PS   | AT | <u>10</u> | Howe, J. R. <i>et al.</i> , "The Responsiveness of a Tetracycline-sensitive Expression System Differs in Different Cell Lines," <i>J. Biol. Chem.</i> 270:14168-14174 (1995)  |

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| EXAMINER<br>R. J. Sch | DATE CONSIDERED<br>8/3/00 |
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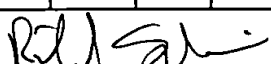


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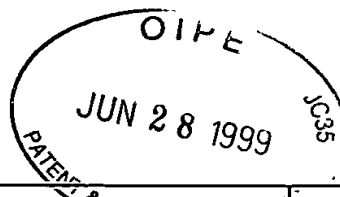
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
|--|----|----|--|
| PS   | AR | 11 | Huang, H. V., "Sindbis virus vectors for expression in animal cells," <i>Curr. Opin. Biotech.</i> 7:531-535 (October 1996)   |
| PS   | AS | 11 | Jeng, S.-Y. <i>et al.</i> , "Characterization and Partial Purification of Bovine $\alpha$ -Lactalbumin and $\beta$ -Casein Produced in Milk of Transgenic Mice," <i>J. Dairy Sci.</i> 80:3167-3175 (December 1997) |
| PS   | AT | 11 | Johanning, F. W. <i>et al.</i> , "A sindbis virus mRNA polynucleotide vector achieves prolonged and high level heterologous gene expression <i>in vivo</i> ," <i>Nucl. Acids Res.</i> 23:1495-1501 (1995)          |

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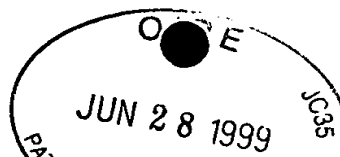
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
|--|----|----|---|
| RS   | AR | 12 | Kawamata, H. <i>et al.</i> , "Induction of TSC-22 by treatment with a new anti-cancer drug, vesnarinone, in a human salivary gland cancer cell," <i>Brit. J. Cancer</i> 77:71-78 (January 1998) |
| RS   | AS | 12 | Keränen, S. and L. Kääriäinen, "Functional Defects of RNA-Negative Temperature-Sensitive Mutants of Sindbis and Semliki Forest Viruses," <i>J. Virol.</i> 32:19-29 (1979)                       |
| RS   | AT | 12 | Kerr, D. E. <i>et al.</i> , "The bladder as a bioreactor: Urothelium production and secretion of growth hormone into urine," <i>Nature Biotech.</i> 16:75-79 (January 1998)                     |

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| EXAMINER <span style="font-family: cursive; font-size: 1.5em;">R. W. Smith</span> | DATE CONSIDERED <span style="font-family: cursive; font-size: 1.5em;">8/3/00</span> |
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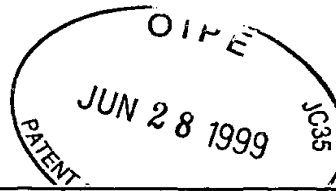
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |  |
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| RS   | AR | <u>13</u> | Kistner, A. <i>et al.</i> , "Doxycycline-mediated quantitative and tissue-specific control of gene expression in transgenic mice," <i>Proc. Natl. Acad. Sci. USA</i> 93:10933-10938 (October 1996)   |
| RS   | AS | <u>13</u> | Lavrovsky, Y. <i>et al.</i> , "Therapeutic Potential and Mechanism of Action of Oligonucleotides and Ribozymes," <i>Biochem. Mol. Med.</i> 62:11-22 (October 1997)                                   |
| RS   | AT | <u>13</u> | Leake, C. J. <i>et al.</i> , "Cytopathic Effect and Plaque Formation by Arboviruses in a Continuous Cell Line (XTC-2) from the Toad <i>Xenopus laevis</i> ," <i>J. gen. Virol.</i> 35:335-339 (1977) |

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| EXAMINER | <i>RDJ</i> | DATE CONSIDERED | 8/3/00 |
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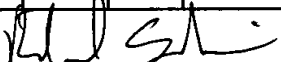


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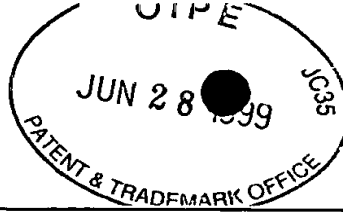
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|                          | AN |                 |      |         |       |           | Yes<br>No   |
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
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| PS   | AR | 14 | Lee, K. H. <i>et al.</i> , "Two-Dimensional Electrophoresis of Proteins as a Tool in the Metabolic Engineering of Cell Cycle Regulation," <i>Biotech. Bioengin.</i> 50:336-340 (May 1996)                  |
| PS   | AS | 14 | Lee, A. H. <i>et al.</i> , "Comparison of Various Expression Plasmids for the Induction of Immune Response by DNA Immunization," <i>Mol. Cells</i> 7:495-501 (August 1997)                                 |
| PS   | AT | 14 | Lemm, J. A. <i>et al.</i> , "Mutations Which Alter the Level or Structure of nsP4 Can Affect the Efficiency of Sindbis Virus Replication in a Host-Dependent Manner," <i>J. Virol.</i> 64:3001-3011 (1990) |

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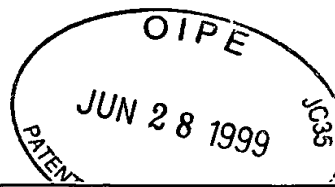
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|--|----|----|--|
| PS   | AR | 15 | Lemm, J. A. and C. M. Rice, "Assembly of Functional Sindbis Virus RNA Replication Complexes: Requirement for Coexpression of P123 and P34," <i>J. Virol.</i> 67:1905-1915 (1993) |
| PS   | AS | 15 | Liljeström, P. and H. Garoff, "A New Generation of Animal Cell Expression Vectors Based on the Semliki Forest Virus Replicon," <i>Bio/Technology</i> 9:1356-1361 (1991)          |
| PS   | AT | 15 | Liljeström, P., "Alphavirus expression systems," <i>Curr. Opin. Biotech.</i> 5:495-500 (1994)  |

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| EXAMINER<br>RLJ SL | DATE CONSIDERED<br>8/3/00 |
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| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO.<br>1700.0020001/JAG/SGW | APPLICATION NO.<br>09/275,883 |
|   | APPLICANT<br>Renner <i>et al.</i>        |                               |
|   | FILING DATE<br>March 25, 1999            | GROUP<br>1643                 |

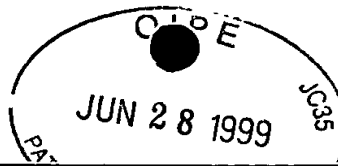
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|                       | AI |                 |      |      |       |           |             |
|                       | AJ |                 |      |      |       |           |             |
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| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |           |             |
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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
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|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |   |
|--|----|-----------|---|
| PS   | AR | <u>16</u> | Limonta, J. <i>et al.</i> , "Production of active anti-CD6 mouse/human chimeric antibodies in the milk of transgenic mice," <i>Immunotech.</i> 1:107-113 (1995) |
| PS   | AS | <u>16</u> | Lundstrom, K., "Alphaviruses as expression vectors," <i>Curr. Opin. Biotech.</i> 8:578-582 (October 1997)   |
| PS   | AT | <u>16</u> | Mangelsdorf, D. J., "The Nuclear Receptor Superfamily: The Second Decade," <i>Cell</i> 83:835-839 (1995)  |

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| EXAMINER<br> | DATE CONSIDERED<br>8/3/00 |
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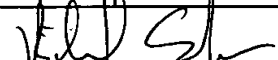
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|   | APPLICANT<br>Renner <i>et al.</i>                     |                               |
|   | FILING DATE<br>March 25, 1999                         | GROUP<br>1643                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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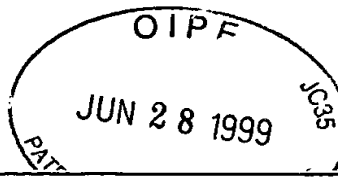
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |    |   |
|----|----|----|---|
| PS | AR | 17 | Máthé, E. <i>et al.</i> , "The <i>Toma</i> j mutant alleles of $\alpha$ Tubulin67C reveal a requirement for the encoded maternal specific tubulin isoform in the sperm aster, the cleavage spindle apparatus and neurogenesis during embryonic development in <i>Drosophila</i> ," <i>J. Cell Sci.</i> 111:887-896 (April 1998) |
| PS | AS | 17 | Meade, H. and C. Ziomek, "Urine as a substitute for milk?" <i>Nature Biotech</i> 16:21-22 (January 1998)  |
| PS | AT | 17 | Miki, T., "Heterogeneity of Sindbis Virus Glycoprotein E <sub>1</sub> and its Modification by Host Cell Transformation," <i>J. gen. Virol.</i> 65:343-354 (1984)  |

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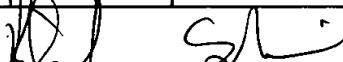
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|   | APPLICANT<br>Renner <i>et al.</i>                  |                               |
|   | FILING DATE<br>March 25, 1999                      | GROUP<br>1643                 |

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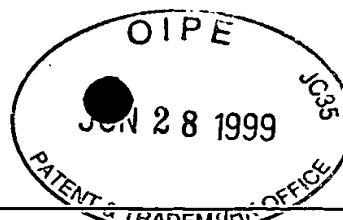
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
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|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|   |    |           |   |
|---|----|-----------|---|
| ✓ | AR | <u>18</u> | Minch, S. L. <i>et al.</i> , "Tissue Plasminogen Activator Coexpressed in Chinese Hamster Ovary Cells with $\alpha(2,6)$ -Sialyltransferase Contains NeuAc $\alpha(2,6)$ Gal $\beta(1,4)$ Glc-N-AcR Linkages," <i>Biotechnol. Prog.</i> 11:348-351 (1995) |
| ✓ | AS | <u>18</u> | Olkkonen, V. M. <i>et al.</i> , "Expression of Exogenous Proteins in Mammalian Cells with the Semliki Forest Virus Vector," <i>Meth. Cell Biol.</i> 43:43-53 (1994)   |
| ✓ | AT | <u>18</u> | Palese, P. <i>et al.</i> , "Negative-strand RNA viruses: Genetic engineering and applications," <i>Proc. Natl. Acad. Sci. USA</i> 93:11354-11358 (October 1996)   |

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| ATTY. DOCKET NO.<br>1700.0020001/JAG/SGW                 | APPLICATION NO.<br>09/275,883  |  |                               |                                   |  |                               |               |
| APPLICANT<br>Renner <i>et al.</i>                        |  |  |                               |                                   |  |                               |               |
| FILING DATE<br>March 25, 1999                            | GROUP<br>1643  |  |                               |                                   |  |                               |               |

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|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
|--|----|----|--|
| PS   | AR | 19 | Patterson, B. <i>et al.</i> , "Cold-sensitive Mutants G680V and G691C of <i>Dictyostelium</i> Myosin II Confer Dramatically Different Biochemical Defects," <i>J. Biol. Chem.</i> 272:27612-27617 (October 1997) |
| PS   | AS | 19 | Paul, N. L. <i>et al.</i> , "Expression of HIV-1 Envelope Glycoproteins by Semliki Forest Virus Vectors," <i>AIDS Res. and Hum. Retrovir.</i> 9:963-970 (1993)   |
| PS   | AT | 19 | Peng, L. <i>et al.</i> , "Construction of Recombinant Adeno-Associated Virus Vector Containing the Rat Preproinsulin II Gene," <i>J. Surg. Res.</i> 69:193-198 (April 1997)                                      |

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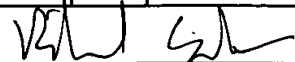
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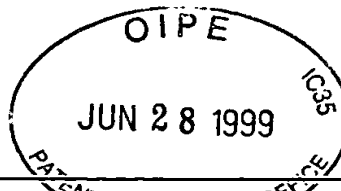
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|----|----|-----------|---|
| RS | AR | <u>20</u> | Piper, R. C. <i>et al.</i> , "Recombinant Sindbis Virus as an Expression System for Cell Biology," <i>Meth. Cell Biol.</i> 43:55-78 (1994)  |
| RS | AS | <u>20</u> | Prodromou, C. and L. H. Pearl, "Recursive PCR: a novel technique for total gene synthesis," <i>Protein Engin.</i> 5:827-829 (1992)  |
| RS | AT | <u>20</u> | Qing, K. <i>et al.</i> , "Adeno-Associated Virus Type 2-Mediated Transfer of Ecotropic Retrovirus Receptor cDNA Allows Ecotropic Retroviral Transduction of Established and Primary Human Cells," <i>J. Virol.</i> 71:5663-5667 (July 1997) |

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| APPLICANT<br>Renner <i>et al.</i>                        |  |                               |
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|                          | AM |                 |      |         |       |           | Yes<br>No   |
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
|--|----|----|--|
| R <sub>3</sub>   | AR | 21 | Renner, W. A. <i>et al.</i> , "Recombinant Cyclin E Expression Activates Proliferation and Obviates Surface Attachment of Chinese Hamster Ovary (CHO) Cells in Protein-Free Medium," <i>Biotech. Bioeng.</i> 47:476-482 (1995) |
| R <sub>1</sub>   | AS | 21 | Saez, E. <i>et al.</i> , "Inducible gene expression in mammalian cells and transgenic mice," <i>Curr. Opin. Biotech.</i> 8:608-616 (October 1997)  |
| R <sub>7</sub>   | AT | 21 | Schlesinger, M. J. and S. Schlesinger, "Formation and Assembly of Alphavirus Glycoproteins," in <i>The Togaviridae and Flaviviridae</i> , Plenum Press, New York, NY, pp. 121-148 (1986)                                       |

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| EXAMINER <span style="font-family: cursive; font-size: 1.5em;">[Signature]</span> | DATE CONSIDERED <span style="font-family: cursive; font-size: 1.5em;">8/2/00</span> |
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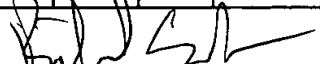

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|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
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| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |   |
|--|----|-----------|---|
| PS   | AR | <u>22</u> | Schlesinger, S., "Alphaviruses - vectors for the expression of heterologous genes," <i>TIBTECH</i> 11:18-22 (1993)  |
| PS   | AS | <u>22</u> | Shockett, P. <i>et al.</i> , "A modified tetracycline-regulated system provides autoregulatory, inducible gene expression in cultured cells and transgenic mice," <i>Proc. Natl. Acad. Sci. USA</i> 92:6522-6526 (1995) |
| PS   | AT | <u>22</u> | Shockett, P. E. and D. G. Schatz, "Diverse strategies for tetracycline-regulated inducible gene expression," <i>Proc. Natl. Acad. Sci. USA</i> 93:5173-5176 (May 1996)  |

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INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1700.0020001/JAG/SGW

APPLICATION NO.  
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Renner *et al.*

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| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|                     | AA |                 |      |      |       |           |             |
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|                     | AE |                 |      |      |       |           |             |
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|                     | AI |                 |      |      |       |           |             |
|                     | AJ |                 |      |      |       |           |             |
|                     | AK |                 |      |      |       |           |             |

FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|---------------------|----|-----------------|------|---------|-------|-----------|-------------|
|                     | AL |                 |      |         |       |           | Yes<br>No   |
|                     | AM |                 |      |         |       |           | Yes<br>No   |
|                     | AN |                 |      |         |       |           | Yes<br>No   |
|                     | AO |                 |      |         |       |           | Yes<br>No   |
|                     | AP |                 |      |         |       |           | Yes<br>No   |

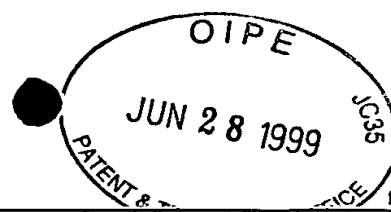
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |    |  |
|----|----|----|--|
| RS | AR | 23 | Schwer, B. <i>et al.</i> , "Effects of deletion mutations in the yeast Ces1 protein on cell growth and morphology and on high copy suppression of mutations in mRNA capping enzyme and translation initiation factor 4A," <i>Nucl. Acids Res.</i> 26:803-809 (February 1998) |
| JS | AS | 23 | Smith, S. M. <i>et al.</i> , "Efficient Expression by an Alphavirus Replicon of a Functional Ribozyme Targeted to Human Immunodeficiency Virus Type 1," <i>J. Virol.</i> 71:9713-9721 (December 1997)  |
| RS | AT | 23 | Stanley, P., "Glycosylation engineering," <i>Glycobiology</i> 2:99-107 (1992)  |

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DATE CONSIDERED

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|---|--|-------------------------------|
| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO.<br>1700.0020001/JAG/SGW | APPLICATION NO.<br>09/275,883 |
|   | APPLICANT<br>Renner <i>et al.</i>        |                               |
|   | FILING DATE<br>March 25, 1999            | GROUP<br>1643                 |

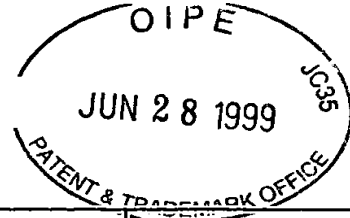
| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|                       | AA |                 |      |      |       |           |             |
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|                       | AI |                 |      |      |       |           |             |
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| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |           |             |
|--------------------------|----|-----------------|------|---------|-------|-----------|-------------|
| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
|--|----|----|--|
| RS   | AR | 24 | Strauss, E. G. and J. H. Strauss, "Mutants of Alphaviruses: Genetics and Physiology," in <i>The Togaviruses</i> , Schlesinger, R. W., ed., Academic Press, New York, NY, pp. 393-426 (1980)  |
| RS   | AS | 24 | Strauss, J. H. and E. G. Strauss, "The Alphaviruses: Gene Expression, Replication and Evolution," <i>Microbiol. Rev.</i> 58:491-562 (1994)   |
| RS   | AT | 24 | Urakami, S. <i>et al.</i> , "Overexpression of Members of the AP-1 Transcriptional Factor Family from an Early Stage of Renal Carcinogenesis and Inhibition of Cell Growth by AP-1 Gene Antisense Oligonucleotides in the <i>Tsc2</i> Gene Mutant (Eker) Rat Model," <i>Biochem. and Biophys. Res. Comm.</i> 241:24-30 (December 1997) |

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| EXAMINER<br>RWL SL | DATE CONSIDERED<br>8/3/00 |
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|   | APPLICANT<br>Renner <i>et al.</i>        |                               |
|   | FILING DATE<br>March 25, 1999            | GROUP<br>1643                 |

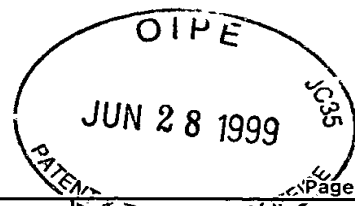
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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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|--------------------------|----|-----------------|------|---------|-------|-----------|-------------|
| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
|--|----|----|---|
| PS   | AR | 25 | Wang, Y. <i>et al.</i> , "A regulatory system for use in gene transfer," <i>Proc. Natl. Acad. Sci. USA</i> 91:8180-8184 (1994)  |
| PS   | AS | 25 | Wang, Y. <i>et al.</i> , "Ligand-inducible and liver-specific target gene expression in transgenic mice," <i>Nature Biotech.</i> 15:239-243 (March 1997)  |
| PS   | AT | 25 | Watson, E. <i>et al.</i> , "Structure determination of the intact major sialylated oligosaccharide chains of recombinant human erythropoietin expressed in Chinese hamster ovary cells," <i>Glycobiology</i> 4:227-237 (1994) |

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|-------------------|---------------------------|
| EXAMINER<br>RW SL | DATE CONSIDERED<br>8/3/00 |
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| APPLICANT<br>Renner <i>et al.</i>                        |  |                               |
| FILING DATE<br>March 25, 1999                            |  | GROUP<br>1643                 |

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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
|--|----|----|---|
| PS   | AR | 26 | Weiss, B. <i>et al.</i> , "Establishment and Maintenance of Persistent Infection by Sindbis Virus in BHK Cells," <i>J. Virol.</i> 33:463-474 (1980)                             |
| RS   | AS | 26 | Wimmel, A. <i>et al.</i> , "Inducible acceleration of G <sub>1</sub> progression through tetracycline-regulated expression of human cyclin E," <i>Oncogene</i> 9:995-997 (1994) |
| RS   | AT | 26 | Wu, A. M. "In vivo veritas: Live phage display panning," <i>Nature Biotech.</i> 14:429-431 (April 1996)   |

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| EXAMINER <span style="float: right;">RLJGL</span> | DATE CONSIDERED <span style="float: right;">SMA</span> |
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|   | APPLICANT<br>Renner <i>et al.</i>        |                               |
|   | FILING DATE<br>March 25, 1999            | GROUP<br>1643                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |           |   |
|--|----|-----------|---|
|  | AR | <u>27</u> | Xie, Y. <i>et al.</i> , "A ribozyme-mediated, gene "knockdown" strategy for the identification of gene function in zebrafish," <i>Proc. Natl. Acad. Sci. USA</i> 94:13777-13781 (December 1997) |
| RS   | AS | <u>27</u> | Xiong, C. <i>et al.</i> , "Sindbis Virus: An Efficient, Broad Host Range Vector for Gene Expression in Animal Cells," <i>Science</i> 243:1188-1191 (1988)                                       |
| RS   | AT | <u>27</u> | Yu, H. <i>et al.</i> , "Inducible Human Immunodeficiency Virus Type 1 Packaging Cell Lines," <i>J. Virol.</i> 70:4530-4537 (July 1996)  |

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| EXAMINER  | DATE CONSIDERED |
|  | 8/13/00         |

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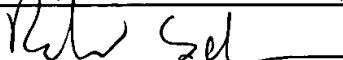
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| FORM PTO-1449<br>INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO.<br>1700.0020001/JAG/SGW | APPLICATION NO.<br>09/275,883 |
|   | APPLICANT<br>Renner <i>et al.</i>        |                               |
|   | FILING DATE<br>March 25, 1999            | GROUP<br>1643                 |

| U.S. PATENT DOCUMENTS |    |                 |      |      |       |           |             |
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| EXAMINER INITIAL      |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |    |  |
|----|----|----|--|
| PS | AR | 28 | Zang, M. <i>et al.</i> , "Production of Recombinant Proteins in Chinese Hamster Ovary Cells Using a Protein-Free Cell Culture Medium," <i>Biotech.</i> 13:389-392 (1995)                                   |
| PS | AS | 28 | Invitrogen Manual, "Sindbis Expression System, Version C," from internet web page <a href="http://www.invitrogen.com/manuels.html">http://www.invitrogen.com/manuels.html</a> , Catalog No. K750-01 (1996) |
|    | AT |    |  |

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|   | APPLICANT<br>Renner <i>et al.</i> |                               |
|   | FILING DATE<br>March 25, 1999     | GROUP<br>1643                 |

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| EXAMINER INITIAL      |     | DOCUMENT NUMBER | DATE       | NAME                      | CLASS | SUB-CLASS | FILING DATE |
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|                       | AG  |                 |            |                           |       |           |             |
|                       | AH  |                 |            |                           |       |           |             |
| RS                    | AI1 | 5,091,309       | 02/25/1992 | Schlesinger <i>et al.</i> | 435   | 69.1      | 08/17/1989  |
| RS                    | AJ1 | 5,217,879       | 06/08/1993 | Huang <i>et al.</i>       | 435   | 69.1      | 12/27/1991  |
|                       | AK1 |                 |            |                           |       |           |             |

| FOREIGN PATENT DOCUMENTS |     |                 |            |         |       |           |             |
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| EXAMINER INITIAL         |     | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL  |                 |            |         |       |           | Yes<br>No   |
|                          | AM  |                 |            |         |       |           | Yes<br>No   |
|                          | AN  |                 |            |         |       |           | Yes<br>No   |
| RS                       | AO1 | WO 94/17813     | 08/18/1994 | WIPO    |       |           | Yes<br>No   |
| RS                       | AP1 | WO 98/36779     | 08/27/1998 | WIPO    |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |   |
|--|----|----|---|
|  | AR |    |   |
|  | AS |    |   |
| RS   | AT | 28 | Dé, I. <i>et al.</i> , "Sindbis Virus RNA-Negative Mutants That Fail to Convert from Minus-Strand to Plus-Strand Synthesis: Role of the nsP2 Protein," <i>J. Virol.</i> 70:2706-2719 (1996) |

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|   | APPLICANT<br>Renner <i>et al.</i> |                               |
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|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

|    |    |    |  |
|----|----|----|--|
| RS | AR | 29 | DiCiommo, D.P. and R. Bremner, "Rapid, High Level Protein Production Using DNA-based Semliki Forest Virus Vectors," <i>J. Biol. Chem.</i> 273:18060-18066 (July 1998)  |
| RS | AS | 29 | Shirako, Y. and J.H. Strauss, "Regulation of Sindbis Virus RNA Replication: Uncleaved P123 and nsP4 Function in Minus-Strand RNA Synthesis, whereas Cleaved Products from P123 Are Required for Efficient Plus-Strand RNA Synthesis," <i>J. Virol.</i> 68:1874-1885 (1994) |
| RS | AT | 29 | Suopanki, J. <i>et al.</i> , "Regulation of alphavirus 26S mRNA transcription by replicase component nsP2," <i>J. Gen. Virol.</i> 79:309-319 (February 1998)   |

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| EXAMINER | <i>[Signature]</i> | DATE CONSIDERED | 8/3/00 |
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|                       | AF |                 |      |      |       |           |             |
|                       | AG |                 |      |      |       |           |             |
|                       | AH |                 |      |      |       |           |             |
|                       | AI |                 |      |      |       |           |             |
|                       | AJ |                 |      |      |       |           |             |
|                       | AK |                 |      |      |       |           |             |

| FOREIGN PATENT DOCUMENTS |    |                 |      |         |       |           |             |
|--------------------------|----|-----------------|------|---------|-------|-----------|-------------|
| EXAMINER INITIAL         |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|                          | AL |                 |      |         |       |           | Yes<br>No   |
|                          | AM |                 |      |         |       |           | Yes<br>No   |
|                          | AN |                 |      |         |       |           | Yes<br>No   |
|                          | AO |                 |      |         |       |           | Yes<br>No   |
|                          | AP |                 |      |         |       |           | Yes<br>No   |

| OTHER (Including Author, Title, Date, Pertinent Pages, etc.) |    |    |  |
|--|----|----|--|
| KS   | AR | 30 | Younker, D.R. and S.G. Sawicki, "Negative Strand RNA Synthesis by Temperature-Sensitive Mutants of Mouse Hepatitis Virus," in <i>Coronaviruses and Arteriviruses</i> , Enjuanes <i>et al.</i> , eds., Plenum Press, New York, pp. 221-226 (1998) |
|  | AS |    |  |
|  | AT |    |  |

|                    |                 |
|--------------------|-----------------|
| EXAMINER           | DATE CONSIDERED |
| <i>[Signature]</i> | <i>6/1/00</i>   |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.